

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: A. Aggarwal et al.

Serial No.: 09/407,434

Examiner:

Filed: September 29, 1999

Group Art: 2761

For: ON-LINE NEGOTIATIONS WITH DYNAMIC PROFILING

Assistant Commissioner for Patents
Washington, D. C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the attached correspondence comprising:

1. Acknowledgement Postcard
2. Notice to File Missing Parts of Application
3. Submission of Declaration Form
4. Declaration and Power of Attorney
5. Assignment to IBM with Recordation Form

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

*Assistant Commissioner for Patents
Washington, D.C. 20231*

on November 19, 1999.

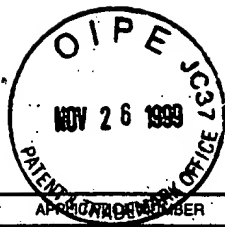
Kathy Cognatello

(Type or print name of person mailing paper)

Kathy Cognatello

(Signature of person mailing paper)

Docket No.: YO999-390



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

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Washington, D.C. 20231

Section 1
#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/407,434 09/29/99 AGGARWAL A Y0999-390

WCW
STEPHEN C KAUFMAN
INTELLECTUAL PROPERTY LAW DEPT
IBM CORPORATION
PO BOX 218
YORKTOWN HEIGHTS NY 10598

0232/1020

NOT ASSIGNED

2761

DATE MAILED:

10/20/99

NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

Due 12/20/99

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00

- ☐ 1. The statutory basic filing fee is:
☐ missing.
☐ insufficient.

Applicant must submit \$ _____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$ _____ for _____ total claims over 20.

\$ _____ for _____ independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER

Direct the reply and any questions about this notice to "Attention: Box-Missing Parts."

A copy of this notice MUST be returned with the reply.

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Docket No. YO999-390
Group Art Unit: 2761
Dated: November 19, 1999

For: ON-LINE NEGOTIATIONS WITH DYNAMIC PROFILING

Assistant Commissioner for Patents
Washington, D.C. 20231

Attn: APPLICATION DIVISION, SPECIAL HANDLING UNIT

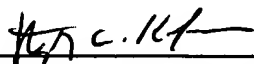
SUBMISSION OF DECLARATION

Sir:

Submitted herewith is a Declaration, properly signed by the Applicants referencing application Serial No. 09/407,434 as originally filed on September 29, 1999. Accordingly, the above-identified application is now complete.

Please charge Deposit Account No. 09-0468 in the amount of \$130.00 for the surcharge for filing the Declaration on a date later than the filing date of the application.

Respectfully submitted,

By 
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